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CCO Form: GS  
Approved: 3/15 (AR)

**REQUEST FOR PROPOSALS  
FOR  
ACTUARIAL & CONSULTING SERVICES  
RFP 6-160503LK**

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MHTC            Missouri Highways and Transportation Commission  
MoDOT           Missouri Department of Transportation

**RFP** Request for Proposals

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## INTRODUCTION

This Request For Proposals (**RFP**) seeks proposals from qualified firms (**Offerors**) to furnish the described services to the Missouri Highways and Transportation Commission (“**MHTC**” or “**Commission**”) and its operating arm, the Missouri Department of Transportation (“**MoDOT**”). Proposals in the required format provided for in this RFP must be mailed in a sealed envelope or box, or else delivered by hand or courier service (UPS, Federal Express, DHL, etc.) to be **received on or before May 3, 2016, 2:00 p.m., Central Time**, at the office of the RFP Buyer of Record:

Leann Kottwitz, CPPB  
Senior General Services Specialist  
Missouri Department of Transportation  
Central Office General Services  
830 MoDOT Drive; P.O. Box 270  
Jefferson City, MO 65109

All documents must be sealed and should be clearly marked “**Actuarial & Consulting Services**”.

MHTC reserves the right to reject any and all proposals for any reason whatsoever. Time is of the essence for responding to the RFP within the submission deadlines.

**PROPOSAL SUBMITTAL CERTIFICATION BY OFFEROR**

- (1) The Offeror shall provide a fee proposal to MHTC in accordance with the terms of this RFP.
- (2) The Offeror agrees to provide the services at the fees quoted, under the terms of this RFP.
- (3) By submission of this proposal, each Offeror and each person signing on behalf of any Offeror, and in the case of a joint proposal, each party thereto as to its own organization, under penalty of perjury, certifies to the best of its knowledge and belief:
  - (A) The prices in this proposal have been arrived at independently without collusion, consultation, communication or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other Offeror or any competitor; and
  - (B) Unless otherwise required by law, the prices which have been quoted in this proposal have not been knowingly disclosed by the Offeror prior to the opening, directly or indirectly, to any other Offeror or to any competitor; and
  - (C) No attempt has been made or will be made by the Offeror to induce any other person, partnership or corporation to submit or not to submit a proposal for the purpose of restricting competition.
  - (D) The Offeror certifies that this proposal is made without any connection with any other person/firm/organization/business entity making a proposal for the same purpose, and is in all respects fair and without collusion or fraud, and that no elected official or other member, officer or employee or person whose salary is payable in whole or in part from the MHTC/MoDOT is directly or indirectly interested therein, or in any portion of the profits thereof.

Authorized Signature of Offeror: \_\_\_\_\_

Date of Proposal: \_\_\_\_\_

Printed or Typed Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Electronic Mail Address: \_\_\_\_\_

\_\_\_\_\_

**SECTION 1:  
GENERAL DESCRIPTION AND BACKGROUND**

**(A) Request for Proposal:** This document constitutes a RFP from qualified firms that can provide Actuarial and Consulting services as set forth in this RFP.

**(B) Background:** MHTC is seeking Actuarial and Consulting firm to provide actuarial and consulting services. It is the intent of this RFP to have the successful Offeror enter into a Service Agreement with MHTC (hereinafter “**Resulting Agreement**”), to supply Actuarial and Consulting services as outlined herein.

MoDOT operates as a customer focused and results driven, state agency under a decentralized organization structure with headquarters in Jefferson City, and is governed by the MHTC, a six (6) member Commission appointed by the Governor. The Central Office provides oversight and support to seven (7) geographical districts primarily responsible for delivery of MoDOT’s mission and tangible results.

Each district contains approximately fifteen percent (15%) of the total road mileage in the state highway system. MoDOT employs approximately 5,100 full-time employees. About eighty percent (80%) of those employees work in the seven (7) districts with the remainder working in the various divisions with the Central Office facility.

a. MHTC provides a workers’ compensation, fleet liability and general liability self-insurance plan *for MoDOT and workers’ compensation for Missouri State Highway Patrol (MSHP)*, herinafter referred to as “SIP”.

i. From January 1, 1987 through December 31, 1989, Rollins Burdick Hunter, Inc., of St. Louis performed claims administration services for the SIP. Effective January 1, 1990, Alexis, Inc. performed claims administration services for the workers’ compensation program. MoDOT personnel perform vehicle liability and general liability services “in house”. Department personnel have performed Workers’ Compensation claims administration services since January 1, 1995.

b. In accordance with Section 104.270 RSMo. 1994, the MHTC, acting through the MoDOT and MSHP Medical and Life Insurance Plan Board of Trustees, herinafter referred to as “Board”, provides a medical and prescription drug benefit program to members of the MoDOT and MSHP Employees’ Retirement System (MPERS), their dependents and others. This benefit program, the MoDOT and MSHP Medical and Life Insurance Plan, hereinafter referred to as “Plan”, is a self-insured medical plan and fully insured life insurance plan. A copy of the current plan document is available at [www.modot.gov/newsandinfo/benefits.htm](http://www.modot.gov/newsandinfo/benefits.htm).

ii. The approximate number of subscribers is 13,924 with an approximate total number of lives of 28,853 currently enrolled in the medical and prescription drug benefit program.

iii. GHP a Coventry Plan currently provides administrative services for the medical benefit program while other vendors are contracted with for administration of prescription drug benefits and disease management etc.

**(C) Contract Period:** The Contract Period for the performance of the services described in this RFP is from date of award through three years. The successful Offeror shall perform any and all the services listed herein as often as requested by MHTC for the entire duration of the Contract Period as defined herein at the Guaranteed-Not-To-Exceed Prices submitted by the successful Offeror in response to **SECTION 6: PRICING PAGE** of this RFP.

**(D) Renewals/Extensions:** The contract shall not bind, not purport to bind, MHTC for any contractual commitment in excess of the original contract period. The MHTC shall have the right, at its sole option, to extend the contract for two (2) additional one-year periods, or a portion thereof. In the event MHTC exercises its options, all terms, conditions, and provisions of the original contract shall remain the same and apply during the extension period. If any of the options are exercised, each extension must be accomplished by a formal contract amendment approved and signed by representatives of the Contractor and Commission, respectively, each of whom being duly authorized to execute the contract amendment on behalf of the Contractor and Commission, respectively, wherein the successful Offeror shall agree the prices stated in the original contract shall not be increased in excess of the renewal periods' pricing, if any, stated on the pricing page of the contract. If the pricing page does not include such renewal prices or if applicable spaces are left blank, and not completed, prices during extension periods shall be the same as during the original contract period. MHTC does not automatically exercise its options based upon the maximum renewal price of increase without documented justification supporting an increase and reserves the right to offer or to request an extension of the contract at a price less than that price derived from the successful Offeror's renewal amounts.

**(E) Schedule of Events:** Below is the schedule that will be followed. Unless otherwise specified, the time of day will be 7:30 a.m. to 4:00 p.m. Central Time. MHTC reserves the right at its sole discretion to expand this schedule, as deemed necessary, without any notification except for the deadline date for submitting a proposal.

DATE	EVENT
April 12, 2016	Issue RFP and Advertise intent to solicit proposals.
April 19, 2016, 2:00 p.m.	Deadline for Offerors to submit written questions and requests for clarification to the RFP Buyer of Record. Email: <a href="mailto:Leann.Kottwitz@modot.mo.gov">Leann.Kottwitz@modot.mo.gov</a>
April 25, 2016	Issuance of Amendment with resolution of any questions submitted at <a href="http://www.modot.org/business/contractor_resources/g_s_bidding/CO/COcommodities.htm">http://www.modot.org/business/contractor_resources/g_s_bidding/CO/COcommodities.htm</a>
May 3, 2016, 2:00 p.m.	Deadline for submission of proposals and scheduled public reading of the names of Offerors submitting timely received proposals.

**SECTION 2:  
SCOPE OF WORK AND SPECIFIC SERVICES**

**(A) Scope of Work:** The successful Offeror agrees to provide to MHTC the following services:

- a. Annual actuarial valuation for the SIP.
- b. Annual and semi-annual actuarial valuations for the Plan.
- c. GASB 45 post-employment actuarial review (upon request, priced separately) for the Plan.
- d. Perform other consultant services as requested.

**(B) Specific Services:** The Offerors agree to perform specific services within the above stated scope of work to include, but not be limited to the following:

**a. SIP Requirements:**

- i. Determination of appropriate annual funding levels for workers' compensation, fleet vehicle liability, and general liability claims.
- ii. Determine the cost allocation of losses by operating unit, known as "insurance charge back", for the Districts and Central Office. Such allocation to be based on three previous years' experience.
- iii. Determination of the actuarial reserve requirements.
- iv. Evaluation of claim experience relative to funding levels.
- v. Recommendation of changes in funding levels.
- vi. Projection of claims expenses.

**b. Plan Requirements:** The Offeror shall present any reports to the Board at a meeting. The Offeror will provide to the Board fourteen (14) copies of an annual and semi-annual actuarial valuation of the contingent liabilities of the Plan, which will include the following:

- i. Determination of the actuarial reserve requirements.
- ii. Evaluation of claim experience relative to contributions in all enrollment categories.

- iii. Recommendation of changes in employee and dependent contribution rates.
- iv. Projection of claims and expenses.
- iv. Recommendation of benefit revisions and estimation of effect on contribution rates.
- v. Periodic review of benefit payments by the claim administrator for the Plan at the office of the claim administrator.

**c.** The annual calendar year valuation for the SIP will be delivered no later than April 1 of the following year unless an extension is granted in writing by Risk and Benefits Management.

**d.** The annual calendar year valuation for the Plan will be delivered within eight (8) weeks of the end of the calendar year starting with the 2016 calendar year. A rate-setting (semi-annual) valuation for the Plan will be required within the five (5) weeks of the end of May each calendar year unless an extension is granted in writing by the Board.

**e.** The Offeror will consult with Risk and Benefits Management on any problems involved with the administration of the SIP or with the Board on any problems involved with the Plan. Such consultation may include, but is not limited to, the following areas:

- i. Review administrative procedural adjustments including collecting and accounting procedures, allocation of expenses.

- ii. Review administrative procedure and accounting procedures, including the allocation of expenses for the SIP. Such review may require a periodic review of SIP claim files.

- iii. Liaison with claim administrator regarding claim administration of the Plan.

- iv. Assist with periodic progress and plan activity reports for the SIP and/or the Plan.

- v. Assist Employee Benefits staff with the impact of proposed or passed state and federal legislation to the Plan.

- vi. Attend conferences and Board meetings at the request of the Director of Risk and Benefits Management or the Board.

- vii. Coordination of marketing for claims and customer service administrative services among potential vendors.

**f.** The Offeror will be required to submit separate invoices for services and charges pertaining to the SIP and the Plan.

**SECTION 3:  
REQUIRED ELEMENTS OF PROPOSAL AND SUBMISSION**

**(A) Required Elements of Proposal:** Each Offeror shall provide a cover letter signed by an authorized firm representative stating he/she has read and understands all of the terms and conditions of doing business with MHTC in response to this request for proposal. Each Offeror's proposal must be divided into sections corresponding to the list of elements described below.

**1. Experience, Expertise and Reliability:** With regard to documenting its experience, expertise, and reliability in providing Actuarial and Consulting services for governmental and/or quasi-governmental agencies, public sector agencies, and/or transportation organizations, the Offeror must provide information related to previous and current contractual relationships considered identical or similar in scope to the one anticipated to result between MHTC and the successful Offeror pursuant to this RFP. At a minimum, the following information must be provided:

**A.** Name, address, telephone number of contracting agency/entity, and a contact person who can verify all data submitted.

**B.** Contract dates.

**C.** A brief, written description of the specific services provided, methods used, and the results associated with the specific services provided.

**D.** List of any pending legal action(s) involving your firm that could directly or indirectly impact the services provided to MHTC.

**2. Proposed Method of Performance:** Each Offeror must present a written narrative demonstrating the method and/or manner in which it proposes to satisfy the requirements of this RFP. The language of the narrative shall be straightforward and limited to facts, solutions to the problems, and plans of proposed action as well as the timeline for completion of proposed action. By reading the proposal, MHTC must be able to gain a comfortable grasp of the services to be provided and the methods proposed by the Offeror to provide them. A detailed explanation should be included to understand how the services comply with the requirements of this RFP.

**3. Proposed Fee:** Offerors must complete **SECTION 6: PRICING PAGE** of this RFP as specifically directed therein.

**(B) Submission of Proposals:** Offerors are responsible for submission of accurate, adequate and clear descriptions of the information requested. Omissions, vagueness or inaccurate descriptions or responses shall not be interpreted in favor of the Offeror and shall be grounds for rejection. This document is not an offer to contract, but is an RFP. Neither the issuance of the RFP, preparation and submission of a response, nor the subsequent receipt and

evaluation of any response by the MHTC, will commit the MHTC to award a contract to any Offeror even if all of the requirements in the RFP are met. The MHTC may modify these requirements in whole or in part and/or seek additional Offerors to submit proposals. Only the execution of the Resulting Agreement will obligate the MHTC in accordance with the terms and conditions contained therein.

**1. Proposal Format:** The Offeror's submittal must include one (1) original hardcopy document. Three (3) electronic copies of the proposal are desired in addition to the hardcopy document. Electronic copies of the proposal must be in Microsoft compatible format or in "pdf" and stored on CD(s) or flash drive(s). The Offeror shall ensure the electronic copy of the proposal document stored in all media is identical to the original hardcopy response document. In case of a discrepancy, the original hardcopy proposal document language shall govern.

**2. Signatures:** Any form containing a signature line in this RFP and any amendments, pricing pages, etc., must be manually signed and returned as part of the proposal.

**3. Pricing:** The Offeror is required to specify the pricing associated with this RFP as a firm fixed price. The successful Offeror will be responsible for performing all services listed in this RFP at the prices listed on **SECTION 6: PRICING PAGE** of the RFP. MHTC will not be liable for any charges beyond those detailed in the proposal.

**A.** MHTC shall not make any payment to the successful Offeror in advance of the services rendered by the successful Offeror.

**B.** Each Offeror is responsible for its own expense in preparing, delivering or presenting a proposal, and for subsequent interviews or negotiations with MHTC, if any, as provided for in this RFP.

**4. Proposal Life:** The Offerors must include a statement in the proposal that indicates the length of time during which MHTC may rely on all proposal commitments. All proposals made in response to this RFP and quoted pricing must remain in effect for a period of not less than 90 days after the date for proposal submission. Any proposal accepted by MHTC for the purpose of contract negotiations shall remain valid until superseded by a contract or until rejected by MHTC.

**5. Submission of All Information Required:** The Offerors must respond to this RFP by submitting all the information required herein for its proposal to be evaluated and considered for award. Failure to submit all the required information shall be deemed sufficient cause for disqualification of a proposal from consideration.

**6. Public Inspection:** The Offerors are hereby advised that all proposals and the information contained in or related thereto are subject to Missouri Open Records Act and after contract award and execution of the Resulting Agreement shall be open to public inspection and may be viewed and copied by any member of the public; therefore, MHTC does not assume any responsibility whatsoever in the event that such information is used or copied by individual persons or organizations.

**A.** Offerors claiming a statutory exception to the Missouri Open Records Act must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked “Confidential” and must indicate in the proposal and on the outside of that envelope that confidential materials are included. The Offeror must also specify which statutory exception provision applies. MHTC reserves the right to make determinations of confidentiality. If MHTC does not agree that the information designated is confidential under one of the disclosure exceptions to the Missouri Open Records Act, it may either reject the proposal or discuss its interpretation of the allowable exceptions with the Offeror. If agreement can be reached, the proposal will be considered. If agreement cannot be reached, MHTC will remove the proposal from consideration for award and return the proposal to the Offeror.

**B.** MHTC will not consider prices to be confidential information.

**C.** The Offeror must submit its proposal based on the conditions contained in this paragraph without reservations.

**7. Clarification of Requirements:** It shall be the Offerors’ responsibility to ask questions, request changes or clarification, or otherwise advise MHTC/MoDOT if any language, specifications or requirements of the RFP appear to be ambiguous, contradictory, and/or arbitrary, or appear to inadvertently restrict or limit the requirements stated in the RFP to a single source.

**A.** Any and all communication from Offerors regarding specifications, requirements, competitive proposal, etc., must be directed to the RFP Buyer of Record listed herein, unless the RFP specifically refers the Offerors to another contact. Such communication shall be received by the date noted in **SECTION 1: GENERAL DESCRIPTION AND BACKGROUND, (E) Schedule of Events**.

**B.** Every attempt will be made to ensure that the Offeror receives an adequate and prompt response. However, in order to maintain a fair and equitable proposal process, all Offerors will be advised, via the issuance of an amendment to the RFP, of any relevant or pertinent information related to the procurement. Therefore, Offerors are advised that unless specified elsewhere in the RFP, any questions received after the listed date may not be answered.

**8. Interview Conference:** After an initial screening of the written proposals, any, or all of the Offerors submitting a proposal in response to this RFP may be required to give an oral presentation of their proposal. Additional technical information may be requested for clarification purposes, but in no way to change the original written proposal submitted. MHTC reserves the right, in its sole discretion, to decide to conduct interviews with any or all of the Offerors. If an interview is conducted, it is preferred that the interviewed Offeror’s personnel to be assigned to the work, as well as key representatives, be present at and participate in the interview.

**9. Official Position of MHTC:** Offerors are cautioned that the only official position of the MHTC and MoDOT is that which is issued by MHTC in the RFP or an

amendment thereto. No other means of communication, whether oral or written, shall be construed as a formal or official response or statement.

**SECTION 4:  
EVALUATION FACTORS AND PROCESS:**

**(A) Evaluation Factors:** The following factors shall be considered in the evaluation of the proposals:

**1. Evaluation Criteria:** Any agreement for services resulting from this RFP shall be awarded to the Offeror providing the best proposal to MHTC. After determining responsiveness, proposals will be evaluated in accordance with the following criteria and maximum points per each criterion:

<b>Evaluation Criterion Description</b>	<b>Maximum Points</b>
Experience, Expertise, and Reliability	40
Proposed Method of Performance	20
Proposed Fee	40

**2. Historic Information:** MHTC reserves the right to consider historic information and facts, whether gained from the Offeror's proposal, presentations or interviews as applicable, references, or other sources, including but not limited to the listed subcontractors, in the evaluation process.

**3. Responsibility to Submit Information:** Each Offeror is cautioned that it is the Offeror's sole responsibility to submit information related to the evaluation criteria and MHTC is under no obligation to solicit such information if it is not included with the Offeror's proposal. Failure of the Offeror to submit such information may cause an adverse impact on the evaluation of the Offeror's proposal.

**(B) Proposal Review/Evaluation:** MHTC will select a group of individuals to comprise the proposal review team. MHTC may, in its sole discretion, form a subgroup of the proposal review team, consisting of one or more team members, to comprise a separate proposal evaluation team that would be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation team members will use the evaluation criteria stated above and present the evaluations to the review team for further action in the proposal evaluation and contract award process. If MHTC opts to not create a separate subgroup proposal evaluation team, the proposal review team shall also act as the proposal evaluation team.

**SECTION 5:  
TERMS AND CONDITIONS**

**(A) Agreement Components:** The Resulting Agreement between MHTC and the successful Offeror shall incorporate by reference as its components the following: the RFP and any written amendments thereto and the proposal submitted by the successful Offeror in response to the RFP. In case of a conflict between or inconsistency in the terms contained in the RFP and the proposal submitted by the Offeror in response to the RFP, the terms of the RFP shall govern. In the event of a conflict between or inconsistency in the terms of the RFP and the Resulting Agreement, the terms of the Resulting Agreement shall govern. MHTC reserves the right, in its sole discretion, to clarify any relationship in writing and such written clarification shall govern in case of any conflict with or inconsistency in the applicable requirements stated in the RFP and the successful Offeror's proposal.

**(B) MHTC's Representative:** MoDOT's Risk and Benefits Management Director is designated as MHTC's representative with authority to act on behalf of MHTC for the purpose of administering the Resulting Agreement. MHTC's representative may designate by written notice other persons having the authority to act on behalf of MHTC in furtherance of the performance of the Resulting Agreement. Each Offeror shall fully coordinate its activities with the designated representative and shall consult the MHTC representative regarding any problem arising out of the provision of the services to the MHTC pursuant to this RFP and the Resulting Agreement. As the work of the successful Offeror progresses, advice and information on matters covered by the Resulting Agreement shall be made available by the successful Offeror to the designated representative throughout the effective period of the Agreement. MHTC reserves the right to limit the authority of Buyer of Record and MHTC's representative provided herein as it deems necessary in its sole discretion at any time and from time to time throughout the duration of the RFP process and the Contract Period.

**(C) Assignment:** The successful Offeror shall not assign, transfer, or delegate any interest in the services to be provided under this RFP and the Resulting Agreement without the prior written consent of the MHTC representative. The successful Offeror may at its own expense employ clerical or technical assistance in the performance of the services under this RFP and the Resulting Agreement, such clerical and technical assistance provider being as fully bound as the Offeror to all confidentiality and work product provisions of this RFP and the Resulting Agreement.

**(D) Amendments:** Any change in the Resulting Agreement, whether by modification or supplementation, must be accomplished by a formal contract amendment approved and signed by representatives of the Successful Offeror and Commission, respectively, each of whom being duly authorized to execute the contract amendment on behalf of the Successful Offeror and Commission, respectively.

**(E) Disputes Under the RFP and Resulting Agreement:** The MHTC representative and/or Buyer of Record, as applicable, will decide all questions which may arise as to the quality, quantity, and acceptability of any Offeror's proposals submitted in response to this RFP, and of the services under this RFP and the Resulting Agreement performed by the successful

Offeror and as to the rate of progress of the services; all questions which may arise as to the interpretation of the services to be performed under this RFP and the Resulting Agreement; all questions as to the acceptable fulfillment of the Resulting Agreement on the part of the successful Offeror; the proper compensation for performance or breach of the Resulting Agreement; and all claims of any character whatsoever in connection with or growing out of the services to be performed or performed by the successful Offeror, whether claims under this RFP and the Resulting Agreement or otherwise. The decision of the MHTC representative and/or Buyer of Record, as applicable, shall be conclusive, binding, and incontestable.

**(F) Successors and Assigns:** The Commission and the Offerors agree that this RFP and, as applicable, the Resulting Agreement as well as all agreements entered into under the provisions of this RFP, shall be binding upon the parties thereto and their successors and assigns.

**(G) Sole Beneficiary:** The Resulting Agreement will be made for the sole benefit of the parties thereto and nothing in this RFP or the Resulting Agreement shall be construed to give any rights or benefits to anyone other than the Commission and the successful Offeror.

**(H) Cancellation:** The Commission may cancel this Agreement at any time for a material breach of contractual obligations or for convenience by providing the Offeror with written notice of cancellation. Should the Commission exercise its right to cancel the contract for such reasons, cancellation will become effective upon the date specified in the notice of cancellation sent to the Offeror. Upon effective date of termination the Commission shall pay Contractor for all fees and expenses due hereunder in connection with the services rendered through the effective date of termination, including any unpaid service fees or expenses and any mutually agreed upon transition assistance extending beyond such termination.

**(I) Bankruptcy:** Upon filing for any bankruptcy or insolvency proceeding by or against any Offeror or assignee, whether voluntarily, or upon the appointment of a receiver for the benefit of creditors, Commission reserves the right and sole discretion to reject the Offeror's proposal, or, as applicable, either cancel the Resulting Agreement or affirm the Resulting Agreement and hold the successful Offeror responsible for damages.

**(J) Status as Independent Contractor:** The successful Offeror represents itself to be an independent contractor offering such services to the general public and shall not represent itself or its employees to be an employee of MHTC or MoDOT. Therefore, the successful Offeror shall assume all legal and financial responsibility for taxes, FICA, employee fringe benefits, workers' compensation, employee insurance, minimum wage requirements, overtime, or other such benefits or obligations.

**(K) Subcontractor:** Any Offeror's proposal must identify all subcontractors, if any, and outline the contractual relationship between the Offeror and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal. MHTC must approve the successful Offeror's subcontracting any portion of the services to be provided under the Resulting Agreement. The successful Offeror is responsible for the performance of any obligations that may result from this RFP and the Resulting Agreement and shall not be relieved by the non-performance of any

subcontractor.

**(L) MBE/WBE Participation Encouraged:**

**1. Affirmative Action Program:** Offerors are encouraged to submit copies of their existing affirmative action programs, if any. Offerors are also encouraged to directly hire minorities and women as direct employees of the Offerors.

**2. Minority Participation Encouraged:** Offerors are encouraged to obtain minority business enterprise (MBE) and women business enterprise (WBE) participation in this work through the use of subcontractors, suppliers, joint ventures, or other arrangements that afford meaningful participation for M/WBEs (i.e. 10% MBE and 5% WBE participation).

**3. Offeror's Responsibility Unconditional:** Regardless of which persons or firms, if any, that the successful Offeror may use as subcontractors or suppliers of goods or services for the services to be provided, the successful Offeror ultimately remains responsible and liable to MHTC for the complete, accurate, and professional quality/performance of these services.

**(M) Nondiscrimination:** The Offerors shall comply with all state and federal statutes applicable to the Offerors relating to nondiscrimination, including, but not limited to, Chapter 213, RSMo; Title VI and Title VII of Civil Rights Act of 1964 as amended (42 U.S.C. Sections 2000d and 2000e, *et seq.*); and with any provision of the "Americans with Disabilities Act" (42 U.S.C. Section 12101, *et seq.*).

**(N) Executive Order:** The Offerors shall comply with all the provisions of Executive Order 07-13, issued by the Honorable Matt Blunt, Governor of Missouri, on the sixth (6<sup>th</sup>) day of March, 2007. This Executive Order, which promulgates the State of Missouri's position to not tolerate persons who contract with the state engaging in or supporting illegal activities of employing individuals who are not eligible to work in the United States, is incorporated herein by reference and made a part of this Resulting Agreement.

**1. Offeror's Certification:** By signing the proposal to this RFP, the Offeror hereby certifies that any employee of the Offeror assigned to perform services herein is eligible and authorized to work in the United States in compliance with federal law.

**2. Failure to Comply:** In the event the Offeror fails to comply with the provisions of the Executive Order 07-13, or in the event the Commission has reasonable cause to believe that the Offeror has knowingly employed individuals who are not eligible to work in the United States in violation of federal law, the Commission reserves the right to reject the Offeror's proposal or, as applicable, impose such contract sanctions as it may determine to be appropriate, including but not limited to contract cancellation, termination or suspension in whole or in part or both.

**3. Incorporation of Provisions:** The successful Offeror shall include the provisions of this paragraph in every subcontract. The successful Offeror shall take such action

with respect to any subcontract as the Commission may direct as a means of enforcing such provisions, including sanctions for noncompliance.

**(O) Non-employment of Unauthorized Aliens:** Pursuant to Section 285.530, RSMo., no business entity or employer shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the State of Missouri. As a condition for the award of any contract or grant in excess of five thousand dollars by the State or by any political subdivision of the State to any Offeror, or for any Offeror receiving a state-administered or subsidized tax credit, tax abatement, or loan from the state, the Offeror shall:

**1. Enrollment in Federal Work Authorization Program:** By sworn affidavit and provision of documentation, affirm its enrollment and participation in a federal work authorization program with respect to the employees working in connection with the contracted services. E-Verify is an example of a federal work authorization program. The Offeror must affirm its enrollment and participation in the E-Verify federal work authorization program with respect to the employees proposed to work in connection with the services requested herein by providing acceptable enrollment and participation documentation consisting of completed copy of the E-Verify Memorandum of Understanding (MOU). For Offerors that are not already enrolled and participating in a federal work authorization program, E-Verify is available at [http://www.dhs.gov/xprevprot/programs/gc\\_1185221678150.shtm](http://www.dhs.gov/xprevprot/programs/gc_1185221678150.shtm).

**2. Annual Worker Eligibility Affidavit:** By sworn affidavit, affirm that it does not knowingly employ any person who is an unauthorized alien in connection with the contracted services. Offerors are required to complete and submit with their proposal the affidavit referenced herein, which is provided within this document and attached as **Exhibit 1**.

**(P) Proof of Lawful Presence For Sole Proprietorships and Partnerships:** If the Offeror is a sole proprietorship or partnership, pursuant to Section 208.009, RSMo., each sole proprietor and each general partner shall provide affirmative proof of lawful presence in the United States. Such sole proprietorship or partnership is eligible for temporary public benefits upon submission by each sole proprietor and general partner of a sworn affidavit of his/her lawful presence on the United States until such lawful presence is affirmatively determined, or as otherwise provided by Section 208.009, RSMo. As applicable, Offerors are required to complete and submit with their proposals the copy of the affidavit referenced herein, which is provided within this document and attached as **Exhibit 2**.

**(Q) Requirements to Do Business in Missouri:** Offerors must comply with the following requirements to do business in Missouri:

**1. Registration with Secretary of State:** The Offerors must be registered and maintain good standing with the Secretary of State of the State of Missouri, Missouri Department of Revenue, and other regulatory agencies, as may be required by law or regulations. Prior to execution of the Resulting Agreement, the successful Offeror shall submit to MHTC a copy of its current Authority Certificate from the Secretary of State of the State of Missouri and/or a copy of its Certificate of No Tax Due from the Missouri Department of Revenue.

**2. Transient Employer Certificate:** All out-of-state Offerors providing services within the State of Missouri must provide a copy of their current Transient Employer Certificate issued from the Missouri Department of Revenue. For assistance with obtaining a Transient Employer Certificate, please call the Missouri Department of Revenue at (573) 751-0459.

**(R) Law of Missouri to Govern:** This Resulting Agreement shall be construed according to the laws of the state of Missouri. The Contractor shall comply with all local, state and federal laws and regulations relating the performance of this Resulting Agreement.

**(S) Venue:** No action may be brought by either party concerning any matter, thing or dispute arising out of or relating to the terms, performance, nonperformance or otherwise of the Resulting Agreement except in the Circuit Court of Cole County, Missouri. The parties agree that the Resulting Agreement is entered into at Jefferson City, Missouri, and substantial elements of its performance will take place at or be delivered to Jefferson City, Missouri, by reason of which the Offeror consents to venue of any action against it in Cole County, Missouri.

**(T) Ownership of Records:** Subject to Section X (Contractor's Tools), Section Y (No Third Party Distribution) and full payment of all related fees and compensation, all documents, reports, exhibits, etc., produced by the Offerors and delivered to MHTC ("Deliverables") and information supplied by MHTC's representative shall remain the property of MHTC.

**(U) Limitation of Liability:** The Commission shall pay Offeror for any time charges and out-of-pocket expenses, but not attorney's fees, incurred by Offeror in responding to any subpoena or other legal process that may be issued to the Offeror or any of its officers, directors, or employees in connection with litigation or other proceedings to which the Commission is a party and Offeror is a non-party and which seeks production of documents or testimony relating to the Commission's employee compensation and benefit plans or the services performed pursuant to the Resulting Agreement.

If any of the services performed by Offeror hereunder do not conform in all material respects to the requirements of this Resulting Agreement, the Commission shall notify Offeror promptly and Offeror shall re-perform such services at no additional charge or, at the Commission's option, shall refund the portion of the fees paid for such non-conforming services. If re-performance of the services or refund of the applicable fees would not provide the Commission with an adequate remedy for damages arising from the performance, nonperformance, or breach of this Resulting Agreement, then Offeror shall be liable only for actual direct damages in an amount not to exceed 200% of the fees paid by the Commission pursuant to this Resulting Agreement during the one-year period immediately preceding the event giving rise to the claim, regardless of the form of action. In any event, the Offeror will not be liable for any indirect, special, or consequential damages or any economic loss (including lost profits or unrealized savings) sustained by the Commission, even if Offeror has been notified of the possibility of such damages or loss. The remedies stated in this paragraph will be the exclusive remedies for any damages arising from Offeror's performance, nonperformance, or breach of this Resulting Agreement regardless of the form of action.

**(V) Work Product:** All documents, reports, exhibits, etc. produced by the Offeror at the direction of the Commission, pursuant to the Resulting Agreement and specific to the scope of services, and information supplied by the Commission, shall remain the property of the Commission.

**(W) Confidential Materials:** If any of the Materials submitted by the Offeror to the Commission are clearly and prominently labeled trade secret, privileged information, or confidential commercial, financial, geological, or geophysical data by the Offeror, the Commission will endeavor to advise the Offeror of any request for the disclosure of such Materials prior to making any such disclosure. Under no circumstances, however, will the Commission be responsible or liable to the Offeror or any other Person for the disclosure of any such labeled Materials, whether the disclosure is required by law, by court order or occurs through inadvertence, mistake or negligence on the part of the Commission.

**(X) Contractor's Tools:** Contractor shall retain all rights, title and interest (including, without limitation, all copyrights, patents, service marks, trademarks, trade secret and other intellectual property rights) in and to all technical or internal designs, methods, ideas, concepts, know-how, techniques, generic documents and templates that have been previously developed by Contractor or developed during the course of the provision of the services ("Contractor Tools") provided such Contractor Tools do not contain any confidential information or proprietary data of the MHTC. To the extent that Contractor may include in the Deliverables any Contractor Tools, Contractor agrees that the MHTC shall be deemed to have a fully paid up license to make copies of the Contractor Tools as part of this Resulting Agreement for its internal business purposes and provided that such materials cannot be modified or distributed outside the MHTC without the written permission of Contractor or except as otherwise permitted in Section Y (No Third Party Distribution).

**(Y) No Third Party Distribution:** The Deliverables are prepared solely for the use and benefit of the MHTC in accordance with its statutory and regulatory requirements. Offeror recognizes that the Deliverables may be public records subject to disclosure to third parties, however, Offeror does not intend to benefit and assumes no duty or liability to any third parties who receive the Deliverables and may include disclaimer language in the Deliverables so stating. The MHTC agrees not to remove any such disclaimer language from the Deliverables. To the extent that the Deliverables are not subject to disclosure under applicable public records laws, the MHTC agrees that it shall not disclose the Deliverables to third parties without Offerors prior written consent; provided, however, that the MHTC may distribute the Deliverables to (i) its professional service providers who are subject to a duty of confidentiality and who agree to not use the Deliverables for any purpose other than to provide services to the MHTC, or (ii) any applicable regulatory or governmental agency, as required.

**(Z) Prohibition Against Kickbacks and Gratuities/Nonsolicitation:** Any kickback, gratuity, or other payment by the Offeror to any person employed by or on behalf of the Commission is prohibited except when such payment is made pursuant to the express terms of this RFP and, as applicable, the Resulting Agreement. Each Offeror warrants that it has not

employed or retained any company or person, other than a bonafide employee working for the Offeror, to solicit or secure this RFP and as applicable the Resulting Agreement, and that the Offeror has not paid or agreed to pay any company or person, other than a bonafide employee, a fee, commission, percentage, brokerage fee, gift, or other consideration, which is contingent upon or Resulting from the award of this RFP and, as applicable, the Resulting Agreement. For breach or violation of this warranty, the Commission shall have the right to reject the Offeror's proposal and, as applicable, annul the Resulting Agreement without liability, or in its discretion, to withhold or recover said amounts from the compensation due or paid under the Resulting Agreement.

**(AA) Conflict of Interest:** Each Offeror covenants that it presently has no actual conflict of interest or appearance of conflict of interest and shall not acquire any interest, directly or indirectly, which would conflict in any manner or degree with the performance of the services under this Resulting Agreement. The Offeror further covenants that no person having any such known interest shall be employed or conveyed an interest, directly or indirectly, in this RFP and the Resulting Agreement.

**(BB) Audit of Records:**

The successful Offeror must maintain all working papers and records relating to the Resulting Agreement. Upon prior written request, these records must be made available at mutually agreed time and place at no charge to MHTC and/or the Missouri State Auditor during the term of the Resulting Agreement and any extension thereof, and for three (3) years from the date of final payment made under the Resulting Agreement. Subject to Section 5(X) (Contractor's Tools), Section 5(Y) (No Third Party Distribution) and full payment of all related fees and compensation, MHTC's representative shall have the right to reproduce and/or use any Deliverables from the successful Offeror without payment of any royalties, fees, etc. MHTC's representative shall at all times have the right to audit any and all records pertaining to the services.

**(CC) Indemnification:** Each Offeror shall defend, indemnify, and hold harmless the Commission, including its members and department employees, from any claim or liability whether based on a claim for damages to real or personal property or to a person for any matter relating to or arising out of the Offeror's submittal of its proposal in response to the RFP, performance of its obligations under this RFP and, as applicable, the Resulting Agreement.

**(DD) Insurance:** For proposal purposes, Offerors must submit copies of certificates of insurance for general and automobile liability and workers' compensation in the following coverage limits. The successful Offeror must provide original certificates prior to commencing services.

**1. General Liability:** Not less than \$500,000 for any one person in a single accident or occurrence, and not less than \$1,000,000 for all claims arising out of a single occurrence;

**2. Automobile Liability:** Not less than \$500,000 for any one person in a single accident or occurrence, and not less than \$1,000,000 for all claims arising out of a single occurrence;

**3. Missouri State Workmen's Compensation:** Policy or equivalent coverage in accordance with state law.

**(EE) Section Headings:** All section headings contained in this RFP and the Resulting Agreement are for the convenience of reference only and are not intended to define or limit the scope of any provision of this RFP and the Resulting Agreement.

**(FF) Severability:** If any clause or provision of this RFP and/or the Resulting Agreement is found to be void or unenforceable by a court or agency of proper jurisdiction, then the remaining provisions not void or unenforceable shall remain in full force and effect.

**(GG) No Adverse Inference:** This RFP and/or the Resulting Agreement shall not be construed more strongly against one party or the other. No rule of construction which requires that any allegedly ambiguous provision be interpreted more strongly against one party than the other shall be used in interpreting this RFP and/or the Resulting Agreement.

{Remainder of page intentionally left blank. }

**SECTION 6:  
PRICE PAGE**

(A) **FEE SCHEDULE:** The Offeror shall indicate below all fees for providing services in accordance with the provisions and requirements stated herein:

<u>SERVICE</u>	<u>FIRM FIXED PRICE</u>		
	1st Yr	2nd Yr.	3rd Yr.
a. SIP Annual Actuarial Valuation	_____	_____	_____
b. Plan Annual Actuarial Valuation	1st Yr	2nd Yr.	3rd Yr.
	_____	_____	_____
c. Plan Semi-annual Actuarial Valuation	1st Yr	2nd Yr.	3rd Yr.
	_____	_____	_____
d. Consultant Services/per hour	1st Yr.	2nd Yr.	3rd Yr.
	_____	_____	_____
e. Plan GASB 45 Post-Employment Review (if necessary)	1 <sup>st</sup> Yr.	2 <sup>nd</sup> Yr.	3 <sup>rd</sup> Yr.
	_____	_____	_____
f. Periodic review of benefit payments by the claim administrator for the Plan at the office of the claim administrator (if elected)	1 <sup>st</sup> Yr.	2 <sup>nd</sup> Yr.	3 <sup>rd</sup> Yr.
	_____	_____	_____

In the event that the Board executes its option to renew the contract for two (2) additional one year periods pursuant to the applicable provisions in Part Three of this document, the offeror should provide below the maximum percentage of price increase for each renewal period. The offeror is cautioned that the percentages shall be computed against the **First Year** contract price for each renewal period. If the following blanks are not complete, prices during renewal periods shall be the same during the original contract period. Furthermore, the offeror is advised that the Board does not automatically grant price increases at the time of renewing the contract and that if an increase is requested, documentation of need must be provided at the time of renewal.

Offeror Printed or Typed Name: \_\_\_\_\_

**SERVICE**

a. **SIP Annual Actuarial Valuation**

First Renewal Period                    \_\_\_% OF MAXIMUM INCREASE

Second Renewal Period                \_\_\_% OF MAXIMUM INCREASE

b. **Plan Annual Actuarial Valuation**

First Renewal Period                    \_\_\_% OF MAXIMUM INCREASE

Second Renewal Period                \_\_\_% OF MAXIMUM INCREASE

c. **Plan Semi-annual Actuarial Valuation**

First Renewal Period                    \_\_\_% OF MAXIMUM INCREASE

Second Renewal Period                \_\_\_% OF MAXIMUM INCREASE

d. **Consultant Services**

First Renewal Period                    \_\_\_% OF MAXIMUM INCREASE

Second Renewal Period                \_\_\_% OF MAXIMUM INCREASE

e. **GASB 45**

First Renewal Period                    \_\_\_% OF MAXIMUM INCREASE

Second Renewal Period                \_\_\_% OF MAXIMUM INCREASE

Offeror Printed or Typed Name: \_\_\_\_\_

**(B) EXPENSES:** List the nature of expenses for which reimbursement would be sought and the estimated amount of such expenses.  
Any applicable cap on out-of-pocket expense also should be noted.

<b>Expenses</b>	<b>Estimated Amount</b>
Miscellaneous (list-attach additional sheet if needed)	
Total	

Offeror Printed or Typed Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_



